

(5) The furnishing of any information or document pursuant to this paragraph (b) of this section shall not constitute an admission for any purpose that the issuer is subject to the Act.

(c) American Depositary Receipts for the securities of any foreign issuer shall be exempt from section 12(g) of the Act.

(d) Securities of any foreign private issuer, other than a North American or Cuban issuer, which has any class of securities registered on a national securities exchange pursuant to section 12(b) of the Act or any foreign private issuer which is required to file reports pursuant to section 15(d) of the Act shall be exempt from section 12(g) of the Act.

(e) The exemptions provided by paragraphs (b) and (d) of this section shall not be available for any class of securities if at the end of the last fiscal year of the issuer (1) more than 50 percent of the outstanding voting securities of such issuer are held of record either directly or through voting trust certificates or depositary receipts by residents of the United States and (2) the business of such issuer is administered principally in the United States or 50 percent or more of the members of its Board of Directors are residents of the United States. For the purpose of this paragraph the term "resident," as applied to security holders, shall mean any person whose address appears on the records of the issuer, the voting trustee or the depositary as being located in the United States.

(f) The exemption provided by paragraph (b) of this section shall not be available for securities of any foreign issuer which, on or after May 31, 1967, and within 1 year prior to the date as of which registration of such securities under section 12(g) of the Act is required, has had the same or any other class of securities registered pursuant to section 12 of the Act; nor shall such exemption be available for securities the registration of which under section 12(g) of the Act is required as a result of the termination of an exemption under paragraph (d) of this rule.

**§ 240.13a-11 Current reports on Form 8-K (17 CFR 249.308).**

(b) This section shall not apply to foreign governments, foreign private issuers required to make reports on Form 6-K (17 CFR 249.306) pursuant to Rule 13a-16 (17 CFR 240.13a-16), issuers of American Depositary Receipts for securities of any foreign issuer, or investment companies required to file quarterly reports pursuant to Rule 13a-12 (17 CFR 240.13a-12).

**§ 240.13a-16 Reports of foreign private issuers on Form 6-K (17 CFR 249.306).**

(a) Every foreign private issuer which has any class of securities registered pursuant to section 12 of the Act shall make reports on Form 6-K, except that this rule shall not apply to—

(1) Investment companies registered pursuant to the Investment Company Act of 1940;

(2) North American or Cuban issuers (i) which have any class of securities registered pursuant to section 12 of the Act on Form 10 (17 CFR 249.210), or on Form 8-A (17 CFR 249.208a), 8-B (17 CFR 249.208b) or 8-C (17 CFR 249.208c) in lieu of Form 10, or (ii) whose obligation to file reports pursuant to section 15(d) of the Act was suspended as a result of registration of a class of securities under section 12(g) of the Act, or (iii) whose registration of such securities under section 12(g) of the Act was required as a result of termination of the exemption provided by Rule 12g3-2(d) (17 CFR 240.12g3-2(d)); or

(3) Issuers of American Depositary Receipts for securities of any foreign issuer.

(b) Such reports shall be transmitted promptly after the information required by Form 6-K is made public by the issuer, by the country of its domicile or under the laws of which it was incorporated or organized, or by a foreign securities exchange with which the issuer has filed the information.

(c) Reports furnished pursuant to this rule shall not be deemed to be "filed" with the Commission or otherwise subject to the liabilities of section 18 of the Act.

**§ 240.15d-11 Current reports on Form 8-K (17 CFR 249.308).**

(b) This rule shall not apply to foreign governments, foreign private issuers required to make reports on Form 6-K (17 CFR 249.306) pursuant to Rule 15d-16 (17 CFR 240.15d-16), issuers of American depositary receipts for securities of any foreign issuer, or investment companies required to file quarterly reports pursuant to Rule 15d-12 (17 CFR 240.15d-12).

**§ 240.15d-16 Reports of foreign private issuers on Form 6-K (17 CFR 249.306).**

(a) Every foreign private issuer which is subject to Rule 15d-1 (17 CFR 240.15d-1) shall make reports on Form 6-K, except that this rule shall not apply to:

(1) North American or Cuban issuers;

(2) Investment companies required to file quarterly reports pursuant to Rule 15d-12 (17 CFR 240.15d-12); or

(3) Issuers of American depositary receipts for securities of any foreign issuer.

(b) Such reports shall be transmitted promptly after the information required by Form 6-K is made public by the issuer, by the country of its domicile or under the laws of which it was incorporated or organized or by a foreign securities exchange with which the issuer has filed the information.

(c) Reports furnished pursuant to this rule shall not be deemed to be "filed" with the Commission or otherwise subject to the liabilities of section 18 of the Act.

(Secs. 12(g), 13, 15(d), and 23(a); 48 Stat. 892, 894, 895, and 901 as amended; 15 U.S.C. 78f, 78n, 78o, and 78w)

The foregoing action, which is taken pursuant to the Securities Exchange Act

of 1934, particularly sections 12(g), 13, 15(d), and 23(a), shall become effective May 31, 1967. *Provided that*, All foreign issuers who would otherwise be required to file a registration statement under section 12(g) of the Act prior to June 30, 1967, are hereby granted an extension of the time for filing such registration statement until the latter date.

By the Commission, April 28, 1967.

[SEAL] ORVAL L. DUBOIS,  
Secretary.

[P.R. Doc. 67-5970; Filed, May 29, 1967;  
8:45 a.m.]

[Release No. 34-8086]

**PART 240—GENERAL RULES AND REGULATIONS, SECURITIES EXCHANGE ACT OF 1934**

**PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934**

**Fees for Fiscal 1967 for Brokers and Dealers Not Members of National Securities Association**

On April 10, 1967, in Securities Exchange Act Release No. 8054, and in the FEDERAL REGISTER of April 11, 1967 (32 F.R. 5809), the Securities and Exchange Commission published a proposal to adopt Rule 15b9-1 (17 CFR 240.15b9-1) and to amend Form SECO-4 (17 CFR 249.504) under the Securities Exchange Act of 1934 (15 U.S.C. 78a, et seq.). The Commission has considered the comments and suggestions received, has adopted the rule, and has adopted the related form as a new form instead of as an amended form.

Sections 15(b) (8) and 15(b) (9) under the Securities Exchange Act authorize the Commission to collect such reasonable fees and charges as may be necessary to defray the costs of additional regulatory duties required to be performed with respect to brokers and dealers who are registered with the Commission<sup>1</sup> but are not members of the National Association of Securities Dealers, Inc. ("NASD").<sup>2</sup>

Rule 15b9-1 (17 CFR 240.15b9-1) establishes fees for the fiscal year ending June 30, 1967 for brokers and dealers who are registered with the Commission on June 15, 1967, and who, for more than 45 days between July 1, 1966, and June 15, 1967, are not members of the NASD.

Under the rule, every broker or dealer registered for at least 45 days on June 15, 1967, and who is not a member of the NASD on that date is required to pay the following fees and to file Form SECO-4-67 (17 CFR 249.504a) (the assessment form) on or before June 30, 1967: (1) A base fee of \$100 for each nonmember broker or dealer; (2) \$5 for each associated person engaged directly or indirectly in securities activities for or on behalf of the broker or dealer at any time

<sup>1</sup> Hereinafter referred to as "registered brokers and dealers."

<sup>2</sup> The NASD is the only such association registered under section 15A of the Securities Exchange Act.



during the period July 1, 1966, to June 15, 1967; and (3) \$30 for each office\* of the broker or dealer open at any time during the fiscal year.

The rule provides that in no case shall any broker or dealer be required to pay more than \$15,000 by virtue of factors (1) and (2)—the base fee plus the fee for associated persons indicated above. The fee of \$30 for each office may not be included in the computation of the \$15,000 maximum.

Registered brokers and dealers who are members of the NASD on June 15, 1967, but who were both registered with the Commission and not members of such association for at least 45 days during the period from July 1, 1966, to June 15, 1967, will be required to pay only half these fees. Brokers and dealers who are registered with the Commission for more than 45 days and who are not members of the NASD on June 15, 1967, are required to pay only half these fees if their registration became effective on or after January 1, 1967.

Rule 15b8-2\* (17 CFR 240.15b8-2) requires that brokers and dealers registering with the Commission after August 1, 1966, who do not become members of the NASD within 45 days after the effective date of their registration pay a fee of \$150. The same \$150 fee is required of firms whose membership in the NASD is terminated after August 1, 1966, and who continue to be registered with the Commission for a period of at least 45 days after such termination of membership. Form SECO-5 (17 CFR 249.505), the initial assessment form, must be filed when this fee is paid.

Rule 15b8-2 (17 CFR 240.15b8-2) also establishes a fee of \$25 for each Form SECO-2 (17 CFR 249.502) filed pursuant to Rule 15b8-1 (17 CFR 240.15b8-1) for each associated person for whom a non-member broker or dealer has not previously filed such a form. This fee must be paid concurrently with the filing of the forms.<sup>5</sup>

The \$150 new firm fee and \$25 filing fee contained in Rule 15b8-2 (17 CFR 240.15b8-2) have been continued by paragraphs (e) and (f) of Rule 15b9-1 (17

CFR 240.15b9-1). Therefore, all fees applicable to nonmember brokers and dealers are included in the rule.<sup>6</sup>

Rule 15b9-1 (17 CFR 240.15b9-1) imposes an additional fee of \$100 upon brokers and dealers who fail to pay any of the fees pursuant to paragraphs (a), (b), (c), or (d) of this rule. This additional fee is to defray the extra administrative costs incurred by the Commission as a result of such failure to comply with the rule.

Finally, Rule 15b9-1 (17 CFR 240.15b9-1) exempts from the fee provisions of paragraphs (a), (b), (c), (d), and (f) of the rule members of a national securities exchange who (1) carry no customer accounts and (2) derive less than \$1,000 income from over-the-counter securities transactions. Each such broker or dealer must nevertheless file Form SECO-4-67 (17 CFR 249.504a) as appropriate and indicate therein whether he claims this exemption.

**Commission action.** The Securities and Exchange Commission, acting pursuant to the provisions of the Securities Exchange Act of 1934, and particularly sections 15(b)(8), 15(b)(9), and 23(a) thereof, deeming such action necessary and appropriate in the public interest and for the protection of investors and to prescribe reasonable fees pursuant to sections 15(b)(8) and 15(b)(9) for registered brokers and dealers not members of a registered national securities association, and also deeming such action necessary for the execution of the functions vested in the Commission by the Act, hereby adopts Rule 15b9-1 (17 CFR 240.15b9-1) and related Form SECO-4-67 (17 CFR 249.504a) as stated below, effective June 30, 1967.

#### **§ 240.15b9-1 Fees for registered brokers and dealers not members of a registered national securities association for fiscal 1967.**

(a) Every broker or dealer registered with the Commission on June 15, 1967 who on such date has been so registered for at least 45 days and is not a member of a registered national securities association shall, on or before June 30, 1967, file Form SECO-4-67 (17 CFR 249.504a) and pay to the Commission a fee for the fiscal year beginning July 1, 1966, and ending June 30, 1967. The total amount of such fee shall be the sum of the following: (1) A base fee of \$100; plus (2) \$5 for each associated person engaged, directly or indirectly, in securities activities for or on behalf of the broker or dealer at any time between July 1, 1966, and June 15, 1967; plus (3) \$30 for each office of the broker or dealer which has been open for business at any time between July 1, 1966, and June 15, 1967.

(b) Every broker or dealer registered with the Commission and a member of a registered national securities association on June 15, 1967 who, for at least 45 days

during the period from July 1, 1966, to June 15, 1967, was registered with the Commission and not a member of such an association shall, on or before June 30, 1967, file Form SECO-4-67 (17 CFR 249.504a) and pay to the Commission only half the fee provided for in paragraph (a) above.

(c) Every broker or dealer subject to paragraph (a) of this section whose registration became effective on or after January 1, 1967 shall pay only half the fee provided for in paragraph (a) of this section.

(d) In no case shall the amount payable by any broker or dealer under subparagraphs (1) and (2) of paragraph (a) of this section, taken together, exceed \$15,000.

(e) (1) Every broker or dealer who becomes registered as a broker or dealer with the Commission and who does not become a member of a registered national securities association within 45 days after the effective date of such registration shall, within such 45 day period, file Form SECO-5 (17 CFR 249.505) and pay to the Commission a fee of \$150.

(2) Every registered broker or dealer whose membership in a registered national securities association is terminated for any reason and who continues to be registered with the Commission for 45 days after such termination of membership shall, within such 45 day period, file Form SECO-5 (17 CFR 249.505) and pay to the Commission a fee of \$150.

(f) Every broker or dealer who is registered with the Commission and not a member of a registered national securities association shall pay to the Commission a fee of \$25 for each Form SECO-2 (17 CFR 249.502) filed by such broker or dealer pursuant to § 240.15b8-1. *Provided, however,* That this paragraph shall not apply to any Form SECO-2 (17 CFR 249.502) filed for any associated person (1) for whom a Form SECO-2 (17 CFR 249.502) previously had been filed by such broker or dealer, or (2) who confines his securities activities to areas outside the jurisdiction of the United States, and who does not deal with any U.S. resident or national.

(g) Every broker or dealer who fails to pay fees, except those required by paragraphs (e) and (f) of this section, as and when required by this section, shall pay an additional fee of \$100 to defray administrative costs incurred by the Commission as a result of such failure.

(h) Any broker or dealer who is a member of a national securities exchange shall not be required to pay the fees pursuant to the foregoing paragraphs (a), (b), (c), (d), and (f) of this section if (1) he carries no accounts of customers, and (2) his annual gross income derived from purchases, sales, and exchanges of securities otherwise than on a national securities exchange is in an amount no greater than \$1,000. Each such broker or dealer shall nevertheless file Form SECO-4-67 (17 CFR 249.504a) as required by this section.

(i) No broker or dealer subject to this section shall effect any transaction in,

\*The term "office" is defined in the rule to mean every place or establishment owned or controlled by a broker or dealer in or from which the broker or dealer engaged in the securities business. A broker or dealer shall be deemed to own or control an office if he pays a substantial portion of the costs thereof, including rent and taxes. The term is not intended to mean the dwelling of an associated person if a broker or dealer does not bear a substantial portion of the cost or expenses of such dwelling. It is intended, however, to include the dwelling of a sole proprietor if he conducts securities business therefrom.

<sup>5</sup>Announced in Securities Exchange Act Release No. 7906 (June 30, 1966) and published in the FEDERAL REGISTER of July 2, 1966 (31 F.R. 9105).

<sup>6</sup>This fee does not apply to Forms SECO-2 (17 CFR 249.502) filed for associated persons who confine their securities activities to areas outside the jurisdiction of the United States and who do not deal with any U.S. residents or nationals.

<sup>7</sup>The reference in Rule 15b8-2 (17 CFR 240.15b8-2) to Forms SECO-2 (17 CFR 249.502) filed after Aug. 1, 1966, and broker-dealer registrations which become effective after that date are obsolete and are eliminated in Rule 15b9-1 (17 CFR 240.15b9-1).



or induce the purchase, sale, or exchange of, any security otherwise than on a national securities exchange unless he has complied with the applicable provisions of this section.

(j) For the purposes of this section:

(1) The term "associated person" shall mean any partner, officer, director, or branch manager of a broker or dealer (or any person occupying a similar status of performing similar functions), or any natural person directly or indirectly controlling or controlled by such broker or dealer (other than employees whose functions are clerical or ministerial), and any broker or dealer conducting business as a sole proprietor.

(2) The term "office" shall mean every place or establishment which is owned or controlled by a broker or dealer in or from which the broker or dealer engages in the securities business.

(Secs. 15(b)(8), 15(b)(9), and 23(a); 78 Stat. 572-3, 48 Stat. 901, as amended, 15 U.S.C. 78o, 78w)

In connection with Rule 15b9-1 (17 CFR 240.15b9-1), Subpart F of Part 249 of Chapter II of Title 17 of the Code of Federal Regulations is amended by adding the following § 249.504a:

§ 249.504a Form SECO-4-67, 1967 assessment and information form for registered brokers and dealers not members of a registered national securities association.

(Copies of this form have been filed with the original of this document. Additional copies can be obtained from the Commission's headquarter's office or its regional offices.)

(Secs. 15(b)(8), 15(b)(9), and 23(a); 78 Stat. 572-3, 48 Stat. 901, as amended, 15 U.S.C. 78o, 78w)

By the Commission.

[SEAL] NELLYE A. THORSEN,  
Assistant Secretary.

MAY 29, 1967.

[P.R. Doc. 67-6010; Filed, May 29, 1967; 8:49 a.m.]

[Release No. 34-8068]

# PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

## Annual Reports of Foreign Private Issues

The Securities and Exchange Commission has adopted an amended Form 20-K (17 CFR 249.320) and has repealed Form 21-K (17 CFR 249.321) under the Securities Exchange Act of 1934. Form 20-K was previously the form for annual reports relating to securities, other than bonds, of foreign private issuers and Form 21-K was the form for annual reports relating to bonds of foreign private issuers. Notice of the proposed action was published November 16, 1965 in Securities Exchange Act Release No. 7748 (see 30 F.R. 14745, Nov. 27, 1965).

The chief purpose of the amendments to Form 20-K is to make that form available for annual reports of all the foreign private issuers, other than certain North American and Cuban issuers, filed pursuant to section 13 or 15(d) of the Act. In view of the extended coverage of Form 20-K, Form 21-K is no longer necessary. Issuers which have heretofore filed annual reports on Form 21-K will hereafter file such reports on Form 20-K. Although Form 21 has also been repealed, issuers who have securities registered on that form will not be required to reregister, but will hereafter file reports on Form 20-K.

Attention is called to Rule 12b-12(d) (17 CFR 240.12b-12(d)) under the Act which provides that annual reports must be in the English language and that any exhibit or other paper or document filed with such reports which is in a foreign language must be accompanied by a translation into the English language.

Only minor changes have been made in Form 20-K as published for comment on November 16, 1965. One of these is an amendment to Item 5 which would call for information in regard to the withholding of taxes from payments of dividends or other payments upon any class of registered securities. Item 8, which called for a description of any foreign exchange controls which are in effect, has been amended to call for a description of any material changes in such controls which have not been reported. In addition, the instructions to financial statements have been amended in certain respects. As proposed, the amended Form 20-K requires the issuer to update the information given in its initial registration statement concerning the aggregate amounts of various benefits which officers and directors receive from the issuer and its subsidiaries. If the issuer has not included such information in its initial registration statement, it will be required in Form 20-K for the first time.

The amended form requires the filing of the financial statements, schedules, and accountants' certificate which would be required if the report were filed on Form 10-K (17 CFR 249.310). However, such statements are not required to be reconciled with Regulations S-X (17 CFR Part 210), but any material variation in accounting principles or practices from the requirements of that regulation must be disclosed and, to the extent practicable, the effect of such variation must be given. Provisions similar to those contained in Form 10-K permitting the Commission to modify the financial statement requirements in certain cases have been included in the amended form.

Four complete copies of the report on Form 20-K must be filed with the Commission and at least one complete copy must be filed with each U.S. exchange on which any security of the registrant is listed and registered.

**Commission action.** The Securities and Exchange Commission, acting pursuant to the Securities Exchange Act of 1934, particularly sections 13, 15(d) and 23(a) thereof, hereby amends Form 20-K (17

CFR 249.320) to read as set forth below and repeals Form 21-K (17 CFR 249.321). The amended form shall be used for annual reports covering any fiscal year ending after December 31, 1966, provided that any registrant may, at its option, use the amended form for its annual report for any fiscal year ending on or prior to that date.

By the Commission, April 28, 1967.

[SEAL]

ORVAL L. DUBOIS,  
Secretary.

## § 249.320 Form 20-K for annual reports of foreign private issuers filed pursuant to sections 13 and 15(d) of the Securities Exchange Act of 1934.

### GENERAL INSTRUCTIONS

#### A. Rule as to Use of Form 20-K.

(a) This form is to be used for annual reports of foreign private issuers filed under section 13 or 15(d) of the Securities Exchange Act of 1934 pursuant to Rule 13a-1 (17 CFR 240.13a-1) or 15d-1 (17 CFR 240.15d-1), except that it shall not be used by any North American or Cuban issuer—

(1) Which has any class of securities registered pursuant to section 12 of the Act on Form 10 (17 CFR 249.210), or on Form 8-A, 8-B, or 8-C (17 CFR 249.208a, 249.208b, or 249.208c) in lieu of Form 10;

(2) Which is filing the report pursuant to section 15(d) of the Act;

(3) Whose obligation to file reports pursuant to 15(d) of the Act is suspended as a result of the registration of a class of securities pursuant to section 12(g) of the Act; or

(4) Which has registered securities under section 12(g) of the Act as a result of termination of the exemption provided by Rule 12g3-2(d) (17 CFR 240.12g3-2(d)).

(b) Reports on this form shall be filed within 6 months after the end of the fiscal year covered by such report.

#### B. Application of General Rules and Regulations.

(a) The General Rules and Regulations under the Act contain certain general requirements which are applicable to reports on any form. These general requirements should be carefully read and observed in the preparation and filing of reports on this form.

(b) Particular attention is directed to Regulation 12B (17 CFR 240.12b-1 et seq.) which contains general requirements regarding matters such as the kind and size of paper to be used, the legibility of the report, the information to be given whenever the title of securities is required to be stated, and the filing of the report. The definitions contained in Rule 12b-2 (17 CFR 240.12b-2) should be especially noted. See also Regulations 13A (17 CFR 240.13a-1 et seq.) and 15D (17 CFR 240.15d-1 et seq.).

#### C. Preparation of Report.

(a) This form is not to be used as a blank form to be filled in, but only as a guide in the preparation of the report on paper meeting the requirements of Rule 12b-12 (17 CFR 240.12b-12). The report shall contain the item numbers and captions of all items required to be answered, but the text of such items may be omitted provided the answers thereto are prepared in the manner specified in Rule 12b-13 (17 CFR 240.12b-13).

(b) Except as otherwise stated, the information required shall be given as of the end of the registrant's fiscal year, or as of the latest practicable date subsequent thereto.

#### D. Signature and Filing of Report.

Four complete copies of each report on this form, including exhibits and all papers and documents filed as a part thereof, shall be



filed with the Commission. At least one complete copy shall be filed with each exchange on which any security of the registrant is listed and registered. At least one of the copies filed with the Commission and one filed with each such exchange shall be manually signed. Unsigned copies shall be conformed.

## FACING PAGE

SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

(FORM 20-K)

ANNUAL REPORT PURSUANT TO SECTIONS 13 AND 15(d) OF THE SECURITIES EXCHANGE ACT OF 1934

For the fiscal year ended \_\_\_\_\_ Commission file number \_\_\_\_\_

(Exact name of registrant as specified in its charter)

(Translation of registrant's name into English)

(Address of principal executive offices)  
Securities registered pursuant to section 12(b) of the Act:

Title of each class	Name of each exchange on which registered

Securities registered pursuant to section 12(g) of the Act:

(Title of class)

(Title of class)

## INFORMATION REQUIRED IN ANNUAL REPORT

## Item 1. Changes in Ownership and Control.

(a) Describe briefly any material changes, not previously reported in the ownership or control exercised by any person or government over the registrant.

(b) State the name of any person or government, not previously reported in this connection, which directly or indirectly owns or controls the registrant and describe briefly the nature of such control.

Item 2. Changes in Character of Business. Describe briefly any material changes, not previously reported, in the general character of the business done by the registrant and its subsidiaries.

Item 3. Changes in Property. Describe briefly any significant and unusual additions, abandonments or retirements of, or any significant and unusual changes, not previously reported, in the general character and location of principal plants and other important units of the registrant and its subsidiaries.

Item 4. Modification of Securities of Registrant. If any material modifications, not previously reported, have been made in any security, a description of which has been previously reported, or have been made in the indenture, charter, or other constituent instrument defining rights of the holders of such security, give the title of the issue and state briefly the general effect of such modifications.

Instructions. 1. This item requires only a brief summary of the provisions which are pertinent from an investment standpoint. A complete legal description of the provisions referred to is not required and should not be given. Do not set forth the provisions of the governing instruments verbatim; only a succinct résumé is required.

2. If the rights evidenced by any class of securities registered have been materially limited or qualified by any other class of securities or by the provisions of any contract or other document and such limitation

or qualification has not been previously described, include such information regarding such limitation or qualification as will enable investors to understand the effect thereof upon the securities registered.

Item 5. Limitations Affecting Security Holders. (a) Outline briefly the provisions of any law or decree not previously reported, and any amendment not previously reported to any law or decree previously reported, determining the extent to which dividends or other payments upon any class of registered securities may be paid to foreign holders and the withholding of taxes from such payments.

(b) Outline briefly any limitations, not previously reported, imposed either by the law of the country in which the registrant was organized or the charter or other constituent documents of the registrant on the right of foreigners to hold or vote any class of registered securities.

Item 6. Securities of Other Issuers Guaranteed by Registrant. If the registrant has guaranteed any class of securities of any other issuer, furnish the following information:

(a) Outline briefly any material modifications, not previously reported, in any such contract of guarantee previously reported.

(b) As to any guarantees not previously reported, state the name of the issuer and the title and amount of securities guaranteed and outline briefly the contract of guarantee.

Item 7. Increases and Decreases in Outstanding Equity Securities. Give the following information as to all increases and decreases during the fiscal year in the amount of equity securities of the registrant outstanding:

(a) The title of the class of securities involved;

(b) The date of the transaction;

(c) The amount of securities involved and whether an increase or a decrease;

(d) A brief description of the transaction in which the increase or decrease occurred. If previously reported, the description may be incorporated by a specific reference to the previous filing, and

(e) If the transaction involved a sale of securities which were not registered under the Securities Act of 1933, an indication of the exemption claimed and the facts relied upon to make the exemption available. If previously reported, the information may be incorporated by a specific reference to the previous filing.

Instruction. The information shall be prepared in the form of a reconciliation between the amounts shown to be outstanding on the balance sheet to be filed with this report and the amounts shown on the registrant's balance sheet for its previous fiscal year. Similar or related transactions, or numerous small transactions, may be grouped together showing the dates between which all such transactions occurred.

Item 8. Exchange Control. Describe briefly any material changes, not previously reported in existing foreign exchange controls or the adoption of new controls in the country under the laws of which the registrant was organized.

Item 9. Directors and Officers of Registrant. Furnish the following information as to all directors and officers of the registrant.

Name	Address	Positions with registrant

Item 10. Remuneration of Directors and Officers. State the aggregate amount of remuneration paid by the registrant and its subsidiaries to all directors and officers of the registrant as a group, without naming them, for services in all capacities during the registrant's last fiscal year.

Item 11. Amount Set Aside for Pensions, Retirement, and Similar Benefits. State the aggregate amount set aside by the registrant and its subsidiaries during the registrant's last fiscal year to provide pension, retirement or similar benefits for directors and officers of the registrant.

Item 12. Options to Purchase Securities from Registrant or Subsidiaries. Furnish the following information as to all options to purchase securities from the registrant or any of its subsidiaries, which were outstanding as of the end of the last fiscal year:

(a) State (1) the title and total amount of securities called for by the options; (2) the purchase price of the securities called for; and (3) the expiration date of the options.

(b) State the total amount of securities called for by all such options held by directors and officers of the registrant as a group, without naming them.

Instruction. The term "option" as used in this item includes all options, warrants, or rights, other than those issued to security holders as such on a pro rata basis.

Item 13. Financial Statements and Exhibits. List all financial statements and exhibits filed as a part of the annual report:

(a) Financial statements.

(b) Exhibits.

## SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this annual report to be signed on its behalf by the undersigned, thereunto duly authorized.

(Registrant)

By \_\_\_\_\_

(Signature)<sup>1</sup>

Date \_\_\_\_\_

## INSTRUCTIONS AS TO FINANCIAL STATEMENTS

1. Every issuer filing a report on this form shall file as a part of its report the financial statements, schedules, and accountants' certificate which would be required to be filed if the report were filed on Form 10-K (17 CFR 249.310). Any material variation in accounting principles or practices from the form and content of financial statements prescribed in Regulation S-X (17 CFR Part 210) shall be disclosed and, to the extent practicable, the effect of each such variation given.

2. The Commission may, upon the request of the registrant, and where consistent with the protection of investors, permit the omission of one or more of the statements herein required or the filing in substitution therefor of appropriate statements of comparable character. The Commission may also require the filing of other statements in addition to, or in substitution for, the statements herein required in any case where such statements are necessary or appropriate for an adequate presentation of the financial condition of any person whose financial statements are required, or whose statements are otherwise necessary for the protection of investors.

The Commission may, upon the request of the registrant, and where consistent with the protection of investors, permit the omission of one or more generally accepted auditing standards or procedures or the substitution of other appropriate auditing standards or procedures.

## INSTRUCTIONS AS TO EXHIBITS

Subject to Rule 12b-32 (17 CFR 240.12b-32) regarding the incorporation of exhibits by reference, the following exhibits shall be filed as a part of the report:

<sup>1</sup> Print the name and title of the signing officer under his signature.



A. Copies of all amendments or modifications, not previously filed, to all exhibits previously filed (or copies of such exhibits as amended or modified).

B. Copies of all other documents of a character required to be filed as an exhibit to an original registration statement on Form 20 which were executed or in effect during the fiscal year and not previously filed.

(Secs. 13, 15, and 23; 48 Stat. 894, 895, and 901, as amended; 15 U.S.C. 78m, 78o and 78w.)

[F.R. Doc. 67-5971; Filed, May 29, 1967; 8:46 a.m.]

[Release No. 34-8069]

# PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

## Periodic Report of Foreign Issuer

The Securities and Exchange Commission had adopted a new Form 6-K (17 CFR 249.306) under the Securities Exchange Act of 1934. This form is to be used for reports by certain foreign private issuers required to furnish reports under the newly adopted Rules 13a-16 (17 CFR 240.13a-16) and 15d-16 (17 CFR 240.15d-16). The purpose of the new form is to provide a form on which foreign private issuers not required to file current reports on Form 8-K (17 CFR 249.308) will furnish whatever information is made public abroad.

Notice of the proposed form was published in Securities Exchange Act Release No. 7749 (30 F.R. 14747, Nov. 27, 1965). Many helpful comments were received in response to that release and certain changes in the proposed form have been made as a result of the consideration of the comments submitted, a review of information voluntarily furnished by foreign issuers in response to the Commission's request in Securities Exchange Act Release No. 7867 (31 F.R. 6706, May 5, 1966), and further consideration of the proposed form by the Commission. The principal changes are described below.

General Instruction B to the form, which specifies the information and documents to be furnished, has been revised to make clear that only information not previously furnished to the Commission need be furnished in a report on the form. This instruction has also been revised to require the furnishing of information made public pursuant to the law of the country in which the issuer is incorporated or organized where that country is other than the country of its domicile. A third revision provides that only information material to investors need be furnished and enumerates certain examples of such information. As previously proposed, information and documents furnished in the report shall not be deemed to be "filed" for the purpose of section 18 of the Act or otherwise subject to the liabilities of that section.

General Instruction C to the proposed form has been revised to require generally that four complete copies of the report on the form be furnished to the Commission.

General Instruction D to the proposed form has been revised to provide that,

while information available only in a foreign language need not be accompanied by an English translation, where such a translation or a substantially equivalent English version has been prepared by or for the issuer, such translation or version shall be furnished. In the latter case, the information need not be furnished in the original language.

**Commission action.** The Securities and Exchange Commission, acting pursuant to the Securities Exchange Act of 1934, particularly sections 13, 15(d), and 23 (a) thereof, hereby adopts Form 6-K (17 CFR 249.306), to read as set forth below.

The new form shall be applicable to reports furnished on or after May 31, 1967.

By the Commission, April 28, 1967.

[SEAL] ORVAL L. DUBOIS,  
Secretary.

§ 249.306 Form 6-K, report of foreign issuer pursuant to Rules 13a-16 (17 CFR 240.13a-16) and 15d-16 (17 CFR 240.15d-16) under the Securities Exchange Act of 1934.

(a) **General Instructions (A) Rule as to Use of Form 6-K.** This form shall be used by foreign issuers which are required to furnish reports pursuant to Rule 13a-16 (17 CFR 240.13a-16) or 15d-16 (17 CFR 240.15d-16) under the Securities Exchange Act of 1934.

(B) **Information and Documents Required to Be Furnished.** An issuer furnishing a report on this form shall furnish whatever information, not previously furnished, such issuer (i) is required to make public in the country of its domicile or in which it is incorporated or organized pursuant to the law of that country, or (ii) filed with a foreign stock exchange on which its securities are traded and which was made public by that exchange, or (iii) distributed to its security holders. The information required to be furnished pursuant to (i), (ii), or (iii) above is that which is significant with respect to the issuer and its subsidiaries concerning: The financial condition or results of operations; changes in business; acquisitions or dispositions of assets; changes in management or control; the granting of options or the payment of other remuneration to directors or officers; transactions with directors, officers, or principal stockholders; and any other information which may be of material interest to investors. This report is required to be furnished promptly after the material contained in the report is made public as described above. The information and documents furnished in this report shall not be deemed to be "filed" for the purpose of section 18 of the Act or otherwise subject to the liabilities of that section.

(C) **Preparation and filing of report.** This report shall consist of a cover page, the document or report furnished by the issuer, and a signature page. Four complete copies of each report on this form shall be deposited with the Commission. At least one complete copy shall be filed with each United States stock exchange on which any security of the registrant is listed and registered under Section 12(b) of the Act. At least one of the copies deposited with the Commission and one filed with each such exchange shall be manually signed. Unsigned copies shall be conformed.

(D) **Translation of papers and documents into English.** Notwithstanding Rule 12b-12 (d) (17 CFR 240.12b-12(d)) the exhibits and other papers and documents furnished with reports on this form, if in a foreign language, need not be accompanied by a translation

into the English language. If the issuer has prepared or caused to be prepared an English translation or substantially equivalent English version of any document or report furnished on this form, the issuer shall furnish such translation or version, and need not furnish the original language document or report.

## FACING PAGE

SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

FORM 6-K

REPORT OF FOREIGN ISSUER

Pursuant to Rule 13a-16 or 15d-16 of the Securities Exchange Act of 1934

For the month of \_\_\_\_\_, 19\_\_

(Translation of registrant's name into English)

(Address of principal executive offices)

(c) **Signatures.** Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused to be signed on its behalf by the undersigned, thereunto duly authorized.

(Registrant)

By \_\_\_\_\_  
(Signature)<sup>1</sup>

Date \_\_\_\_\_

(Secs. 13, 15, and 23; 48 Stat. 894, 895, and 901, as amended; 15 U.S.C. 78m, 78o and 78w)

[F.R. Doc. 67-5972; Filed, May 29, 1967; 8:46 a.m.]

[Release No. 34-8067]

# PART 249—FORMS, SECURITIES EXCHANGE ACT OF 1934

## Registration of Foreign Securities

The Securities and Exchange Commission has adopted a revision of Form 20 (17 CFR 249.220) which was previously authorized for use in registering securities other than bonds of foreign private issuers pursuant to section 12(b) of the Act. The Commission has repealed Form 21 (17 CFR 249.221), previously the form for the registration of bonds of foreign private issuers pursuant to section 12(b) of the Act. The proposals were published for comment in Securities Exchange Act Release No. 7747 (see 30 F.R. 14743, Nov. 27, 1965).

Revised Form 20 will henceforth be available for registration pursuant to section 12 (b) or (g) of the Act of all securities of foreign private issuers other than certain North American and Cuban issuers.

The proposed amendments to Form 20 originally published for comment included a general instruction to the form permitting issuers having no previous reporting requirements under the Act to register securities under section 12(g) by furnishing certain information which they made public abroad in lieu of responding to the item of the form. The Commission has today adopted, in Securities Exchange Act Release No. 8066, Rule 12g3-2 (17 CFR 240.12g3-2) under the Act which exempts such issuers from

<sup>1</sup> Print the name and the title of the signing officer under his signature.



section 12(g) if they furnish the information specified in the proposed general instruction. The proposed general instruction is, therefore, no longer necessary and has been omitted from the adopted revision.

As proposed, the revised Form 20 will require information concerning the aggregate amount of various benefits which officers and directors receive from the issuer and its subsidiaries; the aggregate amount of remuneration paid; the aggregate amount set aside to provide pension, retirement or similar benefits; and information as to any options to purchase securities of the issuer or any of its subsidiaries which are outstanding as of a specified date within 30 days prior to the date of filing the registration statement. These requirements expand the previous Form 20 which required only a description of any rights to any proportion of the earnings of the issuer which had been granted to the management or the board of directors and a statement of the total amount paid to management during the last fiscal year.

The Form 20 instructions to the financial statements have been revised, as proposed, to require all issuers to file the financial statements and schedules which would be required if the registration statement were filed on Form 10 (17 CFR 249.210). The revised form modifies the proposal that the financial statements be reconciled to Regulations S-X (17 CFR Part 210), but instead requires that any material variation from Regulation S-X be disclosed and, to the extent practicable, the effect of the variation be given. Provisions similar to those contained in Form 10, permitting the Commission to modify the financial statement requirements in particular cases where necessary for or consistent with the protection of investors, have been included in the revised form.

Four complete copies of the registration statement on Form 20 must be filed with the Commission and at least one complete copy must be filed with each U.S. exchange on which the issuer applies for registration.

**Commission action.** The Securities and Exchange Commission, acting pursuant to the Securities Exchange Act of 1934, particularly sections 12 and 23(a) thereof, hereby amends Form 20 (17 CFR 249.220) to read as set forth below and repeals Form 21 (17 CFR 249.221). This action shall be applicable to registration statements filed on or after June 30, 1967; provided that any issuer desiring to file a registration statement on Form 20 or 21 prior to such date may file such registration statement on the revised form.

By the Commission, April 28, 1967.

[SEAL] ORVAL L. DUBOIS,  
Secretary.

§ 249.220 Form 20, for registration of securities of foreign private issuers pursuant to Section 12 (b) or (g) of the Securities Exchange Act of 1934.

#### GENERAL INSTRUCTIONS

##### A. Rule as to the Use of Form 20.

This form is to be used for registration pursuant to section 12 of the Securities Ex-

change Act of 1934 of any class of securities of any foreign private issuer: *Provided*, That it shall not be used for registration of any class of securities of any North American or Cuban issuer if (i) the securities are to be registered pursuant to section 12(b) of the Act, or (ii) the issuer has had the same or any other class of securities registered pursuant to section 12 of the Act on Form 10 (17 CFR 249.210), or on Form 8-A, 8-B or 8-C (17 CFR 240.208a, 208b or 208c) in lieu of Form 10 on or after May 31, 1967, and within 1 year prior to the date on which the registration statement is filed or required to be filed under section 12(g).

##### B. Application of General Rules and Regulations.

(a) The General Rules and Regulations under the Act contain certain general requirements which are applicable to registration on any form. These general requirements should be carefully read and observed in the preparation and filing of registration statements on this form.

(b) Particular attention is directed to Regulation 12B (17 CFR 240.12b-1 *et seq.*) which contains general requirements regarding matters such as the kind and size of paper to be used, the legibility of the registration statement, the information to be given whenever the title of securities is required to be stated, and the filing of the registration statement. The definitions contained in Rule 12b-2 (17 CFR 240.12b-2) should be especially noted.

##### C. Preparation of Registration Statement.

(a) This form is not to be used as a blank form to be filled in, but only as a guide in the preparation of the registration statement on paper meeting the requirements of Rule 12b-12 (17 CFR 240.12b-12). The registration statement shall contain the item numbers and captions, but the text of the items may be omitted provided the answers thereto are prepared in the manner specified in Rule 12b-13 (17 CFR 240.12b-13).

(b) Unless otherwise stated, the information required shall be given as of a date reasonably close to the date of filing the registration statement.

##### D. Signature and Filing of Registration Statements.

Four complete copies of the registration statement on this form, including exhibits and all papers and documents filed as a part thereof, shall be filed with the Commission. At least one complete copy of each statement shall be filed with each exchange on which an issuer applies for registration. At least one of the copies of each statement filed with the Commission and one copy filed with each such exchange shall be manually signed. Unsigned copies shall bear typed or printed signatures.

#### FACING PAGE

#### SECURITIES AND EXCHANGE COMMISSION

WASHINGTON, D.C. 20549

#### FORM 20

#### REGISTRATION STATEMENT FILED PURSUANT TO SECTION 12 (b) OR (g) OF THE SECURITIES EXCHANGE ACT OF 1934

(Exact name of registrant as specified in its charter)

(Translation of registrant's name into English)

(Address of registrant's principal executive offices)

Securities to be registered pursuant to section 12(b) of the Act:

Title of each class to be registered	Name of each exchange on which each class is to be registered

Securities to be registered pursuant to section 12(g) of the Act:

(Title of class)

(Title of class)

#### INFORMATION REQUIRED IN REGISTRATION STATEMENT

**Item 1. General Information.** (a) Name of the country under the laws of which the registrant was incorporated or organized.

(b) Date of incorporation or organization.

(c) Date of termination of charter.

(d) Date upon which fiscal year ends.

**Item 2. Control of Registrant.** State whether the registrant is directly or indirectly owned or controlled by another corporation or by any foreign government and, if so, give the name of such controlling corporation or government and describe briefly the nature of such control.

**Item 3. History and Business.** Describe briefly the general character of the business done by the registrant and its subsidiaries, and any substantial changes which may have occurred in the general character of the business within the past five years.

**Item 4. Property.** State briefly the general character and location of the principal plants and other important units of the registrant and its subsidiaries.

**Item 5. Description of Capital Shares To Be Registered.** For each class of capital shares which is to be registered hereunder, give the title of the class and furnish the following information:

(a) Outline briefly: (i) Dividend rights; (ii) limitations in any indentures or other agreements on the payment of dividends; (iii) voting rights; (iv) liquidation rights; (v) preemptive rights; (vi) subscription rights; (vii) conversion rights; (viii) redemption provisions applicable thereto; and (ix) liability to further calls.

(b) Submit a schedule indicating for a period of 3 fiscal years, the dividends paid per share.

**Instructions.** 1. This item requires only a brief summary of the provisions which are pertinent from an investment standpoint. A complete legal description of the provisions referred to is not required and should not be given. Do not set forth the provisions of the governing instruments verbatim; only a succinct résumé is required.

2. If the rights evidenced by the securities to be registered hereunder are materially limited or qualified by the rights evidenced by any other class of securities or by the provisions of any contract or other document, include such information regarding such limitation or qualification as will enable investors to understand the rights evidenced by the securities to be registered.

**Item 6. Description of Funded Debt To Be Registered.** For each class of funded debt which is to be registered hereunder, give the title of the class and furnish the following information:

(a) Date of the issue.

(b) Names of paying agents and trustees.

(c) Outline briefly the amortization, sinking fund, redemption and retirement provisions.

(d) Outline briefly the terms of any conversion or voting rights.

(e) State whether secured by any lien and briefly describe the property subjected to such lien.

(f) If serial, give the plan of serial maturities.

(g) If additional securities of the same issue may be issued under the respective indenture, state the amount thereof and outline briefly the conditions on which such issue can be made.

(h) State the amount of other securities which may be issued and, if issued, will as to



security, rank ahead of, or pari passu with, the issue described.

(i) If substitution of any property securing the issue is permitted, outline briefly the principal provisions permitting such substitution, and state whether or not any notice is required in connection with any such substitution.

(j) If the obligation to pay interest is made dependent upon earnings or other special conditions, outline briefly the provisions applicable thereto.

(k) Outline briefly any provisions for the modification or amendment of the terms of the security or the indenture relating thereto by holders of part of the issue.

(l) State what percentage of security holders is necessary to require the trustee under the indenture (1) to accelerate the maturity of the issue and (2) to enforce the lien thereof. Outline briefly what indemnification the trustee is entitled to require before proceeding to enforce the lien. State what percentage of security holders must concur in order to be able to direct the trustee.

(m) State the currency or currencies in which payable; and if payable in two or more currencies, state the basis of determination for the currency conversion and at whose option.

(n) Outline briefly the provisions of any law or decree determining the extent to which the securities of the issue may be serviced.

(o) State briefly the circumstances concerning any failure to pay principal, interest, or any sinking fund or amortization installment.

**Instructions.** 1. The instructions to Item 5 shall apply to this item.

2. If the securities to be registered hereunder are guaranteed, state the name of the guarantor and outline briefly the contract of guarantee.

**Item 7. Description of Other Securities To Be Registered.** For each class of securities of the registrant, other than capital shares or funded debt, which is to be registered hereunder, give the title of the class and outline briefly the rights evidenced thereby.

**Instructions.** 1. The instructions to Item 5 shall apply to this item.

2. If the securities to be registered hereunder are guaranteed, state the name of the guarantor and outline briefly the contract of guarantee.

**Item 8. Limitations Affecting Security Holders.** (a) Outline briefly the provisions of any law or decree determining the extent to which dividends or other payments upon any class of securities to be registered hereunder may be paid to foreign holders.

(b) As to each class of securities to be registered hereunder, state whether there are any limitations, either by the law of the country under which the registrant is organized or in the charter or other constituent document of the registrant, on the right of foreigners to hold or vote the securities. Outline briefly any such limitations.

**Items 9. Securities of Other Issuers Guaranteed by Registrant.** If the registrant has guaranteed securities of any other issuer (other than notes, drafts, bills of exchange,

or banker's acceptances having a maturity at the time of issuance of not exceeding 1 year), state the name of such issuer and the title and amount of securities guaranteed and outline briefly the contract of guarantee.

**Item 10. Exchange Control.** State whether any exchange control has been established by the country in which the registrant was organized.

**Item 11. Directors and Officers of Registrant.** Furnish the following information as to all directors and officers of the registrant.  
Name \_\_\_\_\_  
Address \_\_\_\_\_  
Positions with registrant \_\_\_\_\_

**Item 12. Remuneration of Directors and Officers.** State the aggregate amount of remuneration paid by the registrant and its subsidiaries during the registrant's last fiscal year to all directors and officers as a group, without naming them, for services in all capacities.

**Item 13. Amount Set Aside for Pension, Retirement and Similar Benefits.** State the aggregate amount set aside by the registrant and its subsidiaries during the last fiscal year of the registrant to provide pension, retirement or similar benefits for directors and officers of the registrant.

**Item 14. Options To Purchase Securities From Registrants or Subsidiaries.** Furnish the following information as to all options to purchase securities from the registrant or any of its subsidiaries, which are outstanding as of a specified date within 30 days prior to the date of filing the registration statement:

(a) State (1) the title and total amount of securities called for by the options; (2) the purchase price of the securities called for; and (3) the expiration dates of the options.

(b) State the total amount of securities called for by all such options held by directors and officers of the registrant as a group, without naming them.

**Instruction.** The term "option" as used in this item includes all options, warrants or rights, other than those issued to security holders as such on a pro rata basis.

**Item 15. Financial Statements and Exhibits.** List all financial statements and exhibits filed as a part of the registration statement.

(a) Financial statements.  
(b) Exhibits.

**SIGNATURES**

Pursuant to the requirements of Section 12 of the Securities Exchange Act of 1934, the registrant has duly caused this registration statement to be signed on its behalf by the undersigned, thereunto duly authorized.

By \_\_\_\_\_  
(Registrant)  
(Signature)<sup>1</sup>

Date \_\_\_\_\_

**INSTRUCTIONS AS TO FINANCIAL STATEMENTS**

1. Every issuer registering securities on this form shall file as a part of its registra-

<sup>1</sup> Print the name and title of the signing officer under his signature.

tion statement the financial statements, schedules and accountants' certificates which would be required to be filed if the registration statement were filed on Form 10. Any material variation in accounting principles or practices from the form and content of financial statements prescribed in Regulation S-X (17 CFR Part 210) shall be disclosed and, to the extent practicable, the effect of each such variation given.

2. The Commission may, upon the request of the registrant, and where consistent with the protection of investors, permit the omission of one or more of the statements herein required or the filing in substitution thereof of appropriate statements of comparable character. The Commission may also require the filing of other statements in addition to, or in substitution for, the statements herein required in any case where such statements are necessary or appropriate for an adequate presentation of the financial condition of any person whose financial statements are required, or whose statements are otherwise necessary for the protection of investors.

The Commission may, upon the request of the registrant, and where consistent with the protection of investors, permit the omission of one or more generally accepted auditing standards or procedures or the substitution of other appropriate auditing standards or procedures.

**INSTRUCTIONS AS TO EXHIBITS**

The following exhibits shall be filed as a part of the registration statement. Such exhibits shall be appropriately designated by numbers or letters for convenient reference.

1. Copies of the charter, articles of association, or other constituent instruments of organization of the registrant, as amended, and by-laws, if any, as amended. (Statute, Gesellschaftsvertrag, etc.)

2. Copies of all indentures and amendments thereto relating to the authorized funded debt of the registrant which is to be registered hereunder.

3. If the registrant has funded debt other than that which is to be registered hereunder, on has subsidiaries with funded debt, an agreement by the registrant to furnish or cause to be furnished to the Commission upon request, copies of any indentures or amendments thereof relating to such funded debt.

4. A copy of any law or decree outlined in answer to Item 8.

5. If the registrant has guaranteed securities of other issuers, as specified in Item 9, an agreement by the registrant to furnish or cause to be furnished to the Commission upon request copies of any constituent instruments defining the rights of the holders of such securities.

6. Copies (specimens if available) of all securities to be registered hereunder.

(Secs. 12 and 23; 48 Stat. 892 and 901, as amended; 15 U.S.C. 78l and 78w)

[F.R. Doc. 67-5973; Filed, May 29, 1967; 8:46 a.m.]